

PHS Financial Disclosure Form

In accordance with the University of California (UC) Policy on Disclosure of Financial Interests and Management of Conflicts of Interest Related to Public Health Services Sponsored Awards for Research [42 C.F.R. Part 50, Subpart F and 45 C.F.R. Part 94], the Principal Investigator and all other UC Office of the President (UCOP) investigators must each disclose their personal SIGNIFICANT FINANCIAL INTERESTS (and those of their spouse and/or dependent children) in any non-profit foundation or for-profit company that are related to their institutional responsibilities. This includes the Principal Investigator, Co-Investigators, Senior and Key Personnel, Collaborators, Consultants, and any other individual who has responsibility for designing, conducting, or reporting of research funded by PHS or proposed for such funding. (See PHS Financial Disclosure Requirements & Definitions for additional information.)

Investigator completing this form:

First Name		Last Name	
Title		E-Mail	
Phone		Role in Project	

Investigator Disclosure

1. Publicly Traded Entity

Income and Equity Interests

Have you, your spouse or registered domestic partner, and/or dependent children received income or payment for services in the past 12 months or own equity interest in any publicly traded entity directly related to this research project exceeding \$5,000 when **aggregated**? This does not include interests in mutual funds and retirement funds in which you do not directly control investment decisions.

Yes No

2. Non-Publicly Traded Entity

Income

Have you, your spouse or registered domestic partner, and/or dependent children received income or other payment for services, in the past 12 months, exceeding \$5,000, when **aggregated**, from any non-publicly traded entity that is directly related to this research project? This does not include payments from UC, or income from seminars, lectures, or teaching engagements sponsored by a federal, state, or local government agency, a US institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

Yes No

Equity Interests

Do you, your spouse or registered domestic partner, and/or dependent children currently own, or have acquired in the past 12 months, **any** equity interest in any non-publicly traded entity directly related to this research project? This can include any stock, stock option or other ownership interest.

Yes No

3. Intellectual Property Rights and Interests

Have you, your spouse or registered domestic partner, and/or dependent children received any payments, in the past 12 months, for any intellectual property rights and interests (e.g. patents, copyrights, assigned or licensed to a party other than UC exceeding \$5,000 related to this research project?

Yes No

4. Travel Reimbursement/Sponsorship

Have you received **any** travel reimbursement or been sponsored for travel (i.e. travel expenses paid on behalf of Investigator and not reimbursed to Investigator), in the past 12 months, by any entity related to this research project? This does not include travel sponsored or reimbursed by a federal, state, or local government agency, a US institution of higher education or an affiliated research institute, an academic teaching hospital, or a medical center.

Yes No

5. Acknowledgement and Certification

Training: PHS requires each Investigator to complete training regarding conflict of interest prior to engaging in research related to any PHS-funded grant. Please contact Brian Russ, Contracts & Grants Operations Officer, at brian.russ@ucop.edu to obtain access to the training module.

I certify under penalty of perjury that this is a complete disclosure of all my significant financial interests related to this research project and I have used all reasonable diligence in preparing this Financial Interest Disclosure, and to the best of my knowledge it is true and complete. I also acknowledge that by signing my name below it is my responsibility to disclose, within 30 days, any new significant financial interests obtained during the term of the above proposed project.

Signature of Investigator: _____

Date: _____

Printed Name: _____

The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, may also be released to the public, upon request. These records will be retained for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Research Policy Analysis & Coordination office.

PHS Financial Disclosure Requirements & Definitions

1. The Principal Investigator of a proposal to PHS must complete the form entitled **General Information Regarding Financial Disclosure on PHS-Funded Research** to identify any key personnel (see 2 below).
2. Any person who is responsible for the design, conduct, or reporting of the PHS funded research project must a **PHS Financial Disclosure Form** at the time of application.
3. At the just-in-time stage of awarding process, Conflict of Interest (COI) staff will contact Investigators who have disclosed any significant financial interests (SFI) to request the submission of an **Addendum**.
4. An ad-hoc UCOP Conflict of Interest Oversight Committee (COIOC) will consider whether the Investigator's SFI could directly and significantly affect the design, conduct, or reporting of the PHS funded research project. UCOP may alternatively rely on any UC campus COIOC to perform this function. Please allow sufficient time for the COIOC review.
5. Submission of the PHS Financial Disclosure Form is required (i) on an annual basis, (ii) when a new Investigator is added to the project, or (iii) when an Investigator acquires or discovers a new SFI directly related to this PHS award. A new significant financial interest also includes acquiring or discovering an additional different type of SFI (that meets or exceeds the SFI threshold) from a previously disclosed source. It is also required when an Investigator transfers PHS-funded research to UC.

Who is considered an "Investigator," and therefore required to disclose? "Investigator" means the project director or principal investigator and any other person, regardless of title or position, who is responsible for the design, conduct, or reporting of research funded by the PHS (e.g., NIH), or proposed for such funding.

What is an entity? *Entity* means any domestic or foreign, public or private, organization (excluding a Federal agency) from which an Investigator (and spouse and dependent children) receives remuneration or in which any person has an ownership or equity interest.

What is a "Significant Financial Interest"? A significant financial interest consisting of **one or more** of the following interests of the Investigator (and those of the Investigator's spouse and dependent children) that are directly related to the PHS award:

1. With regard to **any publicly traded entity**, any income received from entity in 12 months preceding disclosure and value of any equity interests in entity as of date of disclosure exceeding \$5,000 when aggregated for an Investigator, Investigator's spouse, and dependent children from a single Entity (Business, Public or Nonprofit) excluding salary, royalty payments, or any other payments from UC. Equity interest includes any stock, stock option, or other ownership interest, as determined through reference to public prices or other reasonable measures of fair market value;
2. With regard to any **non-publicly traded entity**, any remuneration received from entity in 12 months preceding disclosure, when aggregated, exceeds \$5,000; or when Investigator holds any equity interest (e.g., stock, stock option, or other ownership interest). Exclude income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education;
3. Intellectual property interest held by the Investigator, or Investigator's spouse or dependent children on a patent, patent application, or a copyright of software assigned or to be assigned to a party other than the UC Regents upon receipt of income related to such rights and interests that exceed \$5,000 in 12 months preceding disclosure.
4. Any reimbursed or sponsored travel (i.e., that which is paid on behalf of Investigator and not reimbursed to Investigator so that the exact monetary value may not be readily available). Excludes travel reimbursed or sponsored by Federal, state, or local government agency, an Institution of higher education as defined by 20 U.S.C. 1001(A), an academic teaching hospital, a medical center, or a research institute affiliated with Institution of higher education.

What is not a "Significant Financial Interest"? Significant financial interests do **not** include (1) payments made by UC (salary, royalties, honoraria, expense reimbursement or any other remuneration) or (2) income from seminars, lectures, or teaching engagements sponsored by a Federal, state, or local government agency, an institution of higher education as defined at 20 U.S.C. 1001(a), an academic teaching hospital, a medical center, or a research institute that is affiliated with an Institution of higher education or (3) an investment by a mutual fund, pension fund or other investment fund over which the investigator or his/her immediate family member does not exercise management of fund investment.

Records

The information provided herein may be released or transmitted to the sponsor, including federal agency representatives, and according to the California Public Records Act, may also be released to the public, upon request. These records will be retained for 3 years after termination of sponsored project or until resolution of any action by the sponsor, whichever is greater. The Office of Record is the Research Policy Analysis & Coordination Office.

Contact for Additional Information

Please contact Brian Russ, Contracts & Grants Operations Officer, at brian.russ@ucop.edu for additional information or to obtain access to the COI training module.